

# Health Insurance Oversight System (HIOS) Excel Data Submission Tool - States

## Technical Instructions



### PRA Disclosure Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is **0938-1086**. The time required to complete this information collection is estimated to average ( **10.17 hours**) or ( **609.6 minutes**) per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: CMS, 7500 Security Boulevard, Attn: PRA Reports Clearance Officer, Mail Stop C4-26-05, Baltimore, Maryland 21244-1850.

**Last updated May 02, 2011**

# Health Insurance Oversight System – Excel Data Submission Tool

## Technical Instructions

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# Health Insurance Oversight System – Excel Data Submission Tool

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### 1 Introduction

The Health Insurance Oversight System (HIOS) will allow the government to collect data from states and individual and small group market issuers, which will be aggregated with other data sources and made public on a consumer facing website. One initial mechanism for the states to submit their data is through the use of the HIOS Excel template.

These technical instructions explain the special features and other technical aspects related to the use of the HIOS State Data Submission Excel Tool. The State Data Submission Excel Tool consists of two worksheets that must be completed prior to submission:

- State General Info: Supports the data entry for the state's general information, primary and validation contacts.
- State Issuer & Product Info: Supports the data entry for a listing of issuers with offerings in the corresponding state, along with contact and product information for each issuer.

**The Office of Consumer Information & Insurance Oversight (CCIIO), a center of CMS, recommends that users read this document thoroughly before using the tool.**

The State Data Submission Tool employs two versions of the workbook that serve different purposes throughout the process:

- Working files – are read-write enabled files that allow users to enter data in specified input fields. Users may edit, save, name, and re-name working versions of these files.
- Finalized files – are read-only files created by a process called finalization, which modifies the format of working files to prepare them for submission to CMS. Finalization converts formula results in calculated fields into hard-coded values, removes formulas and other extraneous elements, and saves the file using a standard naming convention. All macro file functionalities are disabled. The finalized save process will delete or standardize some of the data in the finalized file according to specified business rules. The finalized save process will not change the data in the working file. (See Section 2.4.1.)

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### 2 State Data Entry Form Functions

#### 2.1 Submission Requirements

##### 2.1.1 Initial Configuration Requirement

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For the State Data Entry Form to work properly, you must configure your PC to satisfy the following requirements:

- Have Microsoft Excel 2003 or 2007.
- Enable your Excel Standard Toolbar.
- For Excel 2003, set your Excel Macro Security Settings to Medium (recommended). You can do this by selecting Tools, Macro, and the Security command from your Excel menu bar. \*
- For Excel 2007, set your Excel Macro Security Settings to “Disable all macros with notifications.” You can do this by selecting the Office Button, Excel Options, Trust Center, Trust Center Settings, Macro Settings. \*

\* Macros from un-trusted sources could potentially contain malicious code. If your macro settings are configured as stated above, you will be able to select which macros are safe and therefore should be enabled. The following section details how to enable these macros so that you can successfully use the State Form.

#### 2.2 How to Open the State Form Workbook

##### 2.2.1 Macro Security Level Setting

---

###### For Excel 2003

The State Data Entry form uses macros to perform the built-in functions including the validation and finalization processes.

If your Macro Security setting is set to Medium (as recommended above), you will be prompted to enable or disable macros when you open the workbook. You must choose “Enable macros” to correctly open the form. If you choose “Disable macros,” the workbook will display a screen stating that the macros must be enabled in order to use the form. You will have to close and then reopen the workbook to enable macros.

If your macro settings are set to High or Very High, the workbook will not be functional. A static screen will display indicating that you must update your macro settings.

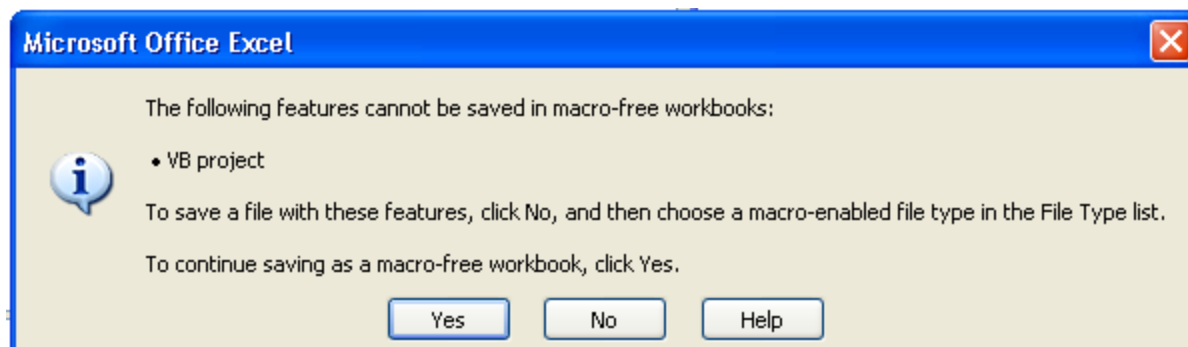
###### For Excel 2007

The State Data Entry form is supported in Excel 2007. You will be able to open and work with the HIOS files using Excel 2007’s compatibility mode. **However, you MUST save and/or**

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**finalize the HIOS files in the Excel 2003 (.xls) format once you are finished.** You will only be able to submit an “.xls” HIOS file.

If you try to save in Excel 2007 (.xlsx) you will get the following error. If you select yes it will make the workbook inoperable.



Note: If a HIOS file is saved in the Excel 2007 (.xlsm) format, an error will occur when you attempt to reopen the file. **Please do not save the HIOS file in .xlsm format.** This applies to working files as well.

If your Macro Security setting is set to “Disable all macros with notification” (as recommended above), the workbook will open and you will see an Option button with the following message: “Security Warnings. Macros have been disabled.” You must click the Option button and select “Enable this content” as seen in the screenshots below.

State Data Entry Form.xls [Compatibility Mode] - Microsoft Excel

Home Insert Page Layout Formulas Data Review View

Clipboard Font Alignment Number Styles

Security Warning Macros have been disabled. Options...

F26

	A	B	C	D	E	F	G	H	I	J	K	L	M
7		3b) Enter the Website address for the Small Group market comparison tool that includes benefits and prices for discrete plans; or enter the State website address if "No" is entered											
8													
9		4a) Does your State have an interactive health plan comparison tool that includes benefits and prices for discrete plans for the Individual market?											
10		4b) Enter the Website address for the Individual market; or enter the State website address if "No" is entered above.											
11													
12		<b>2. State Data Submission Contacts</b>											
13		<b>Primary Contact</b>											
14		First Name:			Last Name								
15		Phone Number:			Extension:								
16		Email:											
17													
18		<b>Backup Contact</b>											
19		First Name:			Last Name								
20		Phone Number:			Extension:								
21		Email:											
22													
23		<b>3. State Data Submission Validation Contacts</b>											
24		<b>Primary Contact</b>											
25		Name:			Last Name								
26		Phone Number:			Extension:								

# Health Insurance Oversight System – Excel Data Submission Tool

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The screenshot displays the Microsoft Excel interface with the Health Insurance Oversight System Data Submission Tool. A security warning dialog box titled "Microsoft Office Security Options" is open, showing a "Security Alert - Macro" warning. The warning states: "Macros have been disabled. Macros might contain viruses or other security hazards. Do not enable this content unless you trust the source of this file." It includes a warning that it is not possible to determine the source's trustworthiness and provides a link for more information. The file path is shown as "C:\...tings\adriank\Desktop\CMS\Forms for test\State Data Entry Form.xls". The dialog box has two radio buttons: "Help protect me from unknown content (recommended)" and "Enable this content". The "Enable this content" option is selected. There are "OK" and "Cancel" buttons at the bottom right, and a link to "Open the Trust Center" at the bottom left.

The Excel spreadsheet shows the following structure:

- Row 1:** Headers A through N.
- Row 2:** "2. State Data Submission Contacts"
- Row 3:** "Primary Contact"
- Row 4:** "First Name:" (A4), "Last Name:" (E4)
- Row 5:** "Phone Number:" (A5), "Extension:" (E5)
- Row 6:** "Email:" (A6)
- Row 7:** "Backup Contact"
- Row 8:** "First Name:" (A8), "Last Name:" (E8)
- Row 9:** "Phone Number:" (A9), "Extension:" (E9)
- Row 10:** "Email:" (A10)
- Row 11:** "3. State Data Submission Validation Contacts"
- Row 12:** "Primary Contact"
- Row 13:** "Name:" (A13), "Last Name:" (E13)
- Row 14:** "Phone Number:" (A14), "Extension:" (E14)
- Row 15:** "Email:" (A15)
- Row 16:** "Backup Contact"
- Row 17:** "Name:" (A17), "Last Name:" (E17)
- Row 18:** "Phone Number:" (A18), "Extension:" (E18)
- Row 19:** "Email:" (A19)
- Row 20:** "PRA Disclosure Statement"
- Row 21:** "According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 0938-1086. The time required to complete this information collection is estimated to average ( 10.17 hours) or (609.6 minutes) per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have comments regarding the accuracy of the time estimate(s) or suggestions for improving this form, please write to: CMS"

If the current Security setting is set to “Enable all macros”, the workbook will open and work as expected. This setting is not recommended.

If the current security setting is set to “Disable all macros except digitally signed macros” or “Disable all macros without notifications”, the workbook will not be functional (i.e. you will not be able to validate and finalize).

You will be able to open and work with multiple State Data Entry Forms in the same Excel 2007 instance. But if you want to close a file and open another one, **you should also close Excel and open the next file in a new instance of Excel**. There are known issues related to Excel 2007 when you open a file in an existing Excel instance. If you encounter any issues when opening a State Data Entry form, then close Excel, go to Task Manager, delete any other Excel processes, then open a new State Data Entry file in a new Excel window.

Note: After completion of the workbook it is suggested that if you had to change your default macro settings for this workbook that you change them back to your original macro settings.

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#### 2.2.2 Commands

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Upon successfully opening a working State Data Entry Form with the macros enabled, specific buttons will appear in the worksheet 1.

Button names (from left to right):

- Validate (Shortcut: CTRL + shift + V) – this will perform the red circle and critical validations.
- Validate and Finalize (Shortcut: CTRL + shift + S) - this function will perform the critical validations and create the read-only finalized file.
- Format and Print Preview (Shortcut: CTRL + shift + P) – this function will format the workbook for printing and bring to focus the print preview screen for the user.

#### 2.2.3 Validations

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All data entry fields are highlighted in green. All cells are formatted in Text format.

It is recommended that you not use Excel’s “Cut” function in the State Data Entry Form workbook as it will remove the cell’s predefined formatting.

Note: You should use the Delete key instead of the Space bar to delete cell values from a cell.

#### 2.2.4 Critical Validations

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The green-highlighted data entry fields fall into three categories with respect to cell validation: validation fields, critical validation fields, and non-validation fields. Validation fields have cell-specific rules regarding the types and format of data that can be entered into them. These rules appear in message boxes called cell labels which are shown when the cell is highlighted.

#### 2.3 Circle Invalid

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Upon triggering the Validation process, a red circle will surround cells that do not pass validation rules. Once the validation rules are corrected the Circle Invalid will disappear.

It is strongly recommended that you correct all red circle validations prior to finalizing your workbook. Not all red circle validations are checked in the finalization process thus it is possible that you finalize your file with data errors. These data errors will be caught when the file is being processed and will be returned to you for correction.

**It is highly recommended that you use the “Validate” function prior to the “Validate and Finalize” function. You should only trigger the “Validate and Finalize” if no red circle validations have failed.**

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### 2.3.1 Printing the file

You have two options for printing the State Data Entry form. You may use the standard excel Print function to print or you may click on the Format & Print Preview button within each worksheet.

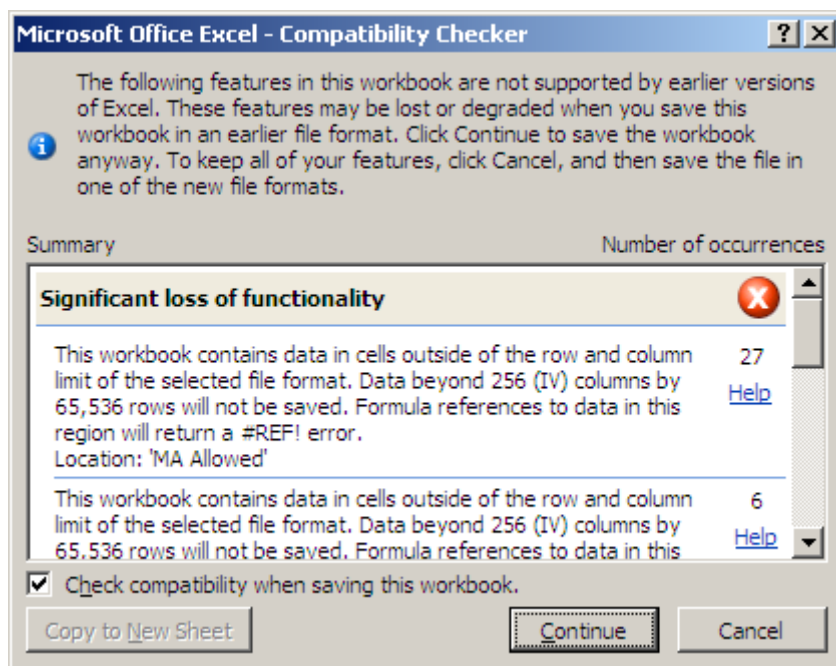
### 2.3.2 Save Functions

There are two save processes available within the State data Entry form: a non-finalized and a finalized save.

A non-finalized save can be invoked by clicking on the Excel Save icon on the Excel Standard Toolbar or by selecting File and then Save from the Excel menu. This save process will save any changes you have made to the workbook.

A finalized save occurs when the “Finalize and Validate” function is invoked. (See Section 2.4, “Finalizing the State Data Entry Form for Submission.”) This step is taken when the workbook is complete and ready for submission.

Note: after clicking “Save” or “Finalize & Validate Form,” the following message may appear:



Uncheck the box “Check compatibility when saving this workbook” and click “Continue.” The popup will not appear next time you save a form.

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#### 2.4 Finalizing the State Data Entry Form for Submission

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To trigger the finalization process, click on the Validate & Finalize File button. The system will perform all of the critical validations. The system will perform the finalization process and create the read only file if all critical validations are passed.

**As stated in Section 2.3, it is highly recommended that you correct all red circle validations prior to triggering the finalization process.**

##### 2.4.1 Finalization Process

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When the finalization function is triggered, the system will perform the following actions:

- Check the required fields—Pre-determined fields (e.g., “State”) must be entered for the finalization to be successful; these fields are listed in Appendix B (“Required Fields”).
- Check the critical validations—Critical validation fields must comply with their validation rules for the finalization process to be successful; the fields and business rules are listed in Appendix A (“Critical Validation Fields”). All critical errors must be corrected for a file to be successfully finalized.
- Create a finalized file with the following features:
  - All worksheets will display as read only in the finalized file.
  - Red circles will display for cells that do not pass validation rules. Note: You will be able to finalize the file if the red circled cell is not one of the critical errors. A list of critical validations for is included in Appendix A, “Critical Errors.”

##### 2.4.2 File Naming Convention

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Finalized State Data Entry Submission workbooks are saved using the following standardized naming convention:

Final\_<state abbreviation><year><month><day><Hour><Min><Sec>\_<original name>. xls

**Use of this naming convention is a requirement for a successful submission. If you modify the name of the finalized file, it will not be processed.**

Example: Final\_VA20100427130426\_State Data Entry Form.xls

Note: Finalized files will be saved in the same directory where the working file is located.

Note: Original name refers to the name of the working file. There is not a requirement for how the working file must be named and it will not impact the processing of the finalized file.

The working file name can be changed at any time. The finalized forms are read-only files. If you need to make additional changes prior to submission, modify the working file and finalize

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the file again. Remember that the naming convention mentioned above, which is used for the finalized file, is required for submission.

#### 2.5 Closing the file

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When closing the file it is highly recommended that you save all current changes.

#### 2.6 Password Protection

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The State Data Entry form is password protected. You may not modify the structure of the workbook or worksheets. Each data item must be located in its pre-defined cell location for successful processing.

#### 2.7 For Returning Users

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After initial submission of the State Data Entry form, the information will be saved in the form. When you download a Pre-Populated State Template, the form will display information entered previously and you should only to enter new information. To modify data, enter the information next to the associated issuer name.

#### 2.8 Data Submission

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Upon submission to HIOS, the submitter will receive an email message either confirming successful submission or notifying them of its failure and the reason for submission failure.

In addition to this, you will receive an incorrect error message due to a system issue. This error message will read: “!!! An error occurred while processing the file from the server <server name> and the exception is: Object reference not set to an instance of an object. “ **This message is in error and should be ignored.**

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### 2.9 Issuer Data Reports

The Issuer Data Reports displays data pertaining to all issuers within the state that the user has access. There are four reports within the Issuer Data Reports section, which can be viewed by clicking on the respective tabs at the top of the reports table. The four reports are Product Per Issuer, Enrollment Data, Application Data, and Product Data.

The image below displays the Issuer Data Reports page:

Health Insurance Oversight System

Friday, April 22, 2011

CCIO State, [Home](#) [FAQ](#) [Contact Us](#) [Sign Out](#)

Note: Hold the "Ctrl" key to select multiple Issuers from the list. Click on "Show Results" to display results for selected Issuer(s).

Issuers:  [Select All](#)  
 [Select None](#)

Product Code	Product Name	Product Description	Product Type	Market Type	Bene Website	Formulary Website	Provider Web
Aetna Health Inc. (a PA corp.) - MD							
66516MD001	Aetna Health Maintenance Organization		HMO	Small Group	<a href="http://www.aetna.co...-plans/document-library/states/md_pla...">http://www.aetna.co...-plans/document-library/states/md_pla...</a>	<a href="http://www...businessSe...">http://www...businessSe...</a>	<a href="http://www.a...">http://www.a...</a>
66516MD002	Aetna Health Maintenance Organization		POS	Small Group	<a href="http://www.aetna.co...-plans/document-library/states/md_pla...">http://www.aetna.co...-plans/document-library/states/md_pla...</a>	<a href="http://www...businessSe...">http://www...businessSe...</a>	<a href="http://www.a...">http://www.a...</a>

Accessibility | Rules of Behavior | Web Policies | File Formats and Plug-Ins

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#### 2.9.1 Selecting Issuers

The Issuer Data Reports displays a multi-select box that contains all the issuers within the given state that the user has access. To select an issuer, click on the name of the issuer, the issuer name will then be highlighted. To select multiple issuers, hold down the CTRL key and click on the issuer name until it is highlighted. To select all issuers click on the Select All button. Once the appropriate issuers are selected, the user can click on the Show Results button to display the reports for the selected issuers.

The user can also de-select an issuer by clicking on the highlighted issuer. If multiple issuers are selected, the user can hold down the CTRL key and click on the highlighted issuer name to de-select. If the user can de-select all issuers by clicking on the Select None button.

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### 2.9.2 Excel Export of Issuer Data

The Issuer Data Reports also contains functionality that provides a data dump of issuer data to Microsoft Excel. The user can export this data by clicking on the Excel Export of Issuer Data button. This export provides data for all issuers within the state in which the user has access.

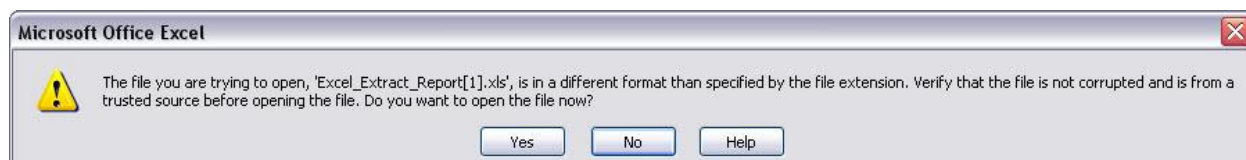
The image below displays the Excel Export of Issuer Data:

	A	B	C	D	E	F	G	H	I	J	
1	1. Corporate Information							2. Address			
2	Issuer ID	Issuer Legal Name	State	Federal EIN	Market Coverage	Issuer Marketing Name	NAIC Company Code	NAIC Group Code	Address Line 1	Address Line 2	City
3	41308	American Medical Se	MD	860207231	Individual		097179	079413	3100 AMS Blvd		Green Bay
4	92113	Golden Rule Insuranc	MD	376028756	Individual		062286	079413	7440 Woodland Drive		Indianapo
5	44551	PacificCare Life and H	MD	351137395	Individual		070785	079413	5995 Plaza Drive		Cypress
6	13124	Thrivent Financial for	MD	390123480	Individual		056014	000000	625 Fourth Avenue S.		Minneapo
7	19089	Trustmark Life Insura	MD	363421358	Small Group		062863	000276	400 Field Drive		Lake Fores
8	68541	Coventry Health and	MD	751296086	Both		081973	001137	750 Prides Crossing	Suite 300	Newark
9	14468	Coventry Health Care	MD	510293139	Small Group		096460	001137	750 Prides Crossing	Suite 300	Newark
10	52754	Trustmark Insurance	MD	360792925	Individual		061425	000000	400 Field Drive		Lake Fores
11	65635	MAMSI Life and Health	MD	521803283	Both		060321	079413	800 King Farm Blvd.		Rockville
12	72375	Optimum Choice, Inc	MD	521518174	Both		096940	079413	800 King Farm Blvd.		Rockville
13	23620	UnitedHealthcare Ins	MD	362739571	Small Group		079413	079413	450 Columbus Boulev		Hartford
14	31112	UnitedHealthcare of	MD	521130183	Small Group		095025	079413	800 King Farm Boulev		Rockville
15	97469	Prudential Insurance	MD	221211670	Individual		068241	000304	Prudential Insurance	751 Broad St.	Newark
16	28137	CareFirst BlueChoice	MD	521358219	Both		096202		10455 Mill Run Circle		Owings M
17	45532	CareFirst of Maryland	MD	521385894	Both		047058		10455 Mill Run Circle		Owings M
18	94084	GHMSI	MD	530078070	Both		053007		10455 Mill Run Circle		Owings M
19	28370	Guarantee Trust Life	MD	361174500	Individual		064211	000687	1275 Milwaukee Ave		Glenview
20	28573	State Farm Mutual Au	MD	370533100	Individual		025178	000176	One State Farm Plaza		Bloomingt
21	28792	Principal Life Insuran	MD	420127290	Small Group		061271	000332	711 High Street		Des Moines
22	48033	John Alden Life Insur	MD	410999752	Both		065080	000019	501 W. Michigan St.		Milwaukee
23	49225	Time Insurance Comp	MD	390658730	Individual		069477	000019	501 W. Michigan St.		Milwaukee
24	66516	Aetna Health Inc. (a F	MD	232169745	Small Group		095109	000001	Aetna Health Inc. (a F	980 Jolly Road	Blue Bell
25	70767	Aetna Life Insurance	MD	066033492	Both		060054	000001	Aetna Life Insurance	151 Farmington Aven	Hartford
26	90296	Kaiser Foundation HI	MD	520954463	Both		095639		2101 East Jefferson St		Rockville
27	85008	The Guardian Life Ins	MD	135123390	Small Group		064246	000429	7 Hanover Square		New York
28	40777	Celtic Insurance Com	MD	060641618	Individual		080799	001295	233 S. Wacker Dr.	Suite 700	Chicago
29	71598	ING Life Insurance an	MD	710294708	Individual		086509	000229	5780 Powers Ferry Ro		Atlanta
30	88893	Banner Life Insurance	MD	521236145	Individual		094250	000872	1701 Research Blvd.		Rockville
31	43913	MetLife Insurance Co	MD	060566090	Individual		087726		18210 Crane Nest Dri	3rd Fl	Tampa
32	89209	Metropolitan Life Ins	MD	135581829	Individual		065978		18210 Crane Nest Dri	3rd Fl	Tampa

#### 2.9.2.1 File Extension Error

Please note that if the user is using a Microsoft Excel version greater than the 2003 version, a file extension error may display. The user can click on Yes to continue opening the excel export.

The image below displays the error message that displays:



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### 3 Tips for Entering Data

This section will provide information on how to enter data into each required cell within the workbook.

#### 3.1 State General Info Tab

The following table includes the cell location for each data entry field on the State General Info tab along with appropriate values.

Cell Location	Data	Valid Values
E3	State Name	<b>Select a value from the drop down list.</b> Do not type in a state name.
E4	Underwriting Status	<b>Select Yes or No from the drop down.</b> Do not type in a value.
E6	Does your state have a comparison tool for the Small Group Market?	<b>Select Yes or No from the drop down.</b> Do not type in a value.
E7	Website address for comparative tool or state address.	If you answered Yes to E6, enter the full website address for the comparative tool (e.g. <a href="http://www.comparative_tool.gov">www.comparative_tool.gov</a> ) . If you answered No to E6, enter your full state website address (e.g. <a href="http://www.state.us.gov">www.state.us.gov</a> ).
E9	Does your state have a comparison tool for the Individual Market?	<b>Select Yes or No from the drop down.</b> Do not type in a value.
E10	Website address for comparative tool or state address.	If you answered Yes to E9, enter the full website address for the comparative tool (e.g. <a href="http://www.comparative_tool.gov">www.comparative_tool.gov</a> ) . If you answered No to E9, enter your full state website address (e.g. <a href="http://www.state.us.gov">www.state.us.gov</a> ).
D14	Primary State Data Submission Contact First Name	Enter the first name of the individual who is the primary contact for the submission of this data. The system allows up to 40 characters.

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Cell Location	Data	Valid Values
F14	Primary State Data Submission Contact Last Name	Enter the last name of the individual who is the primary contact for the submission of this data. The system allows up to 40 characters.
D15	Primary State Data Submission Contact Phone Number	Enter the phone number for the individual who is the primary contact for the submission of this data. The system allows up to 15 characters.
F15	Primary State Data Submission Contact Phone Number Extension	Enter the phone number extension for the individual who is the primary contact for the submission of this data. The system allows up to 15 characters. THIS FIELD IS OPTIONAL.
D16	Primary State Data Submission Contact Email Address	Enter the email address for the individual who is the primary contact for the submission of this data. Please make sure to include the full email address (e.g. <a href="mailto:test@test.com">test@test.com</a> ). The system will validate that the @ is part of the address.
D19	Back Up State Data Submission Contact First Name	Enter the first name of the individual who is the back up contact for the submission of this data. The system allows up to 40 characters.
F19	Back Up Data Submission Contact Last Name	Enter the last name of the individual who is the back up contact for the submission of this data. The system allows up to 40 characters.
D20	Back Up Data Submission Contact Phone Number	Enter the phone number for the individual who is the back up contact for the submission of this data. The system allows up to 15 characters.

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Cell Location	Data	Valid Values
F20	Back Up Data Submission Contact Phone Number Extension	Enter the phone number extension for the individual who is the back up contact for the submission of this data. The system allows up to 15 characters. THIS FIELD IS OPTIONAL.
D21	Back Up State Data Submission Contact Email Address	Enter the email address for the individual who is the back up contact for the submission of this data. Please make sure to include the full email address (e.g. <a href="mailto:test@test.com">test@test.com</a> ). The system will validate that the @ is part of the address.
D25	Primary State Data Validation Contact First Name	Enter the first name of the individual who is the primary contact for the validation of this data. The system allows up to 40 characters.
F25	Primary State Data Validation Contact Last Name	Enter the last name of the individual who is the primary contact for the validation of this data. The system allows up to 40 characters.
D26	Primary State Data Validation Contact Phone Number	Enter the phone number for the individual who is the primary contact for the validation of this data. The system allows up to 15 characters.
F26	Primary State Data Validation Contact Phone Number Extension	Enter the phone number extension for the individual who is the primary contact for the validation of this data. The system allows up to 15 characters. THIS FIELD IS OPTIONAL.

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Cell Location	Data	Valid Values
D27	Primary State Data Validation Contact Email Address	Enter the email address for the individual who is the primary contact for the validation of this data. Please make sure to include the full email address (e.g. <a href="mailto:test@test.com">test@test.com</a> ). The system will validate that the @ is part of the address.
D30	Back Up State Data Validation Contact First Name	Enter the first name of the individual who is the back up contact for the validation of this data. The system allows up to 40 characters.
F30	Back Up State Data Validation Contact Last Name	Enter the last name of the individual who is the back up contact for the validation of this data. The system allows up to 40 characters.
D31	Back Up State Data Validation Contact Phone Number	Enter the phone number for the individual who is the back up contact for the validation of this data. The system allows up to 15 characters.
F31	Back Up State Data Validation Contact Phone Number Extension	Enter the phone number extension for the individual who is the back up contact for the validation of this data. The system allows up to 15 characters. THIS FIELD IS OPTIONAL.
D32	Back Up State Data Validation Contact Email Address	Enter the email address for the individual who is the back up contact for the validation of this data. Please make sure to include the full email address (e.g. <a href="mailto:test@test.com">test@test.com</a> ). The system will validate that the @ is part of the address.

### 3.2 State Issuer & Product Info Tab

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The following table includes the cell location for each data entry field on the State Issuer & Product Info tab, along with appropriate values.

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### Technical Instructions

On this worksheet you will include one row for each Issuer/Market with offerings within your state. If an Issuer has offerings in both the Individual and Small Group markets, you must create two rows for this issuer.

Cell Location	Data	Valid Values
B5	Issuer Name	Enter the name of the Insurance Issuer.
C5	Individual/Small Group	<b>Select Individual or Small Group from the drop down. Do not type in a value.</b>
D5	Issuer Data Submission Contact Name	Enter the name of the individual who is your point of contact at the Issuer organization. The system allows up to 40 characters.
E5	Issuer Data Submission Contact Phone Number	Enter the phone number for the individual who is your point of contact at the issuer organization. The system allows up to 15 characters.
F5	Issuer Data Submission Contact Email Address	Enter the email address for the individual who is your point of contact at the issuer organization. Please make sure to include the full email address (e.g. <a href="mailto:test@test.com">test@test.com</a> ). The system will validate that the @ is part of the address.
G5	Customer Service Contact Phone Number for Consumers	Enter the phone number for the individual who is your point of contact at the Issuer organization. The system allows up to 15 characters. <b>THIS FIELD IS OPTIONAL.</b>
H5	No. of products offered - Fee for Service	Enter the number of Fee for Service products the corresponding Issuer offers for the corresponding market (Individual or SmallGroup). The number must be a whole number. If the Issuer does not offer any Fee for Service products, enter 0. <b>Do not leave this field blank.</b>

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Cell Location	Data	Valid Values
I5	No. of products offered - HMO	Enter the number of HMO products the corresponding Issuer offers for the corresponding market (Individual or SmallGroup). The number must be a whole number. If the Issuer does not offer any HMO products, enter 0. <b>Do not leave this field blank.</b>
J5	No. of products offered - PPO	Enter the number of PPO products the corresponding Issuer offers for the corresponding market (Individual or SmallGroup). The number must be a whole number. If the Issuer does not offer any PPO products, enter 0. <b>Do not leave this field blank.</b>
K5	No. of products offered - EPO	Enter the number of EPO products the corresponding Issuer offers for the corresponding market (Individual or SmallGroup). The number must be a whole number. If the Issuer does not offer any EPO products, enter 0. <b>Do not leave this field blank.</b>
L5	No. of products offered - POS	Enter the number of POS products the corresponding Issuer offers for the corresponding market (Individual or SmallGroup). The number must be a whole number. If the Issuer does not offer any POS products, enter 0. <b>Do not leave this field blank.</b>

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Cell Location	Data	Valid Values
M5	No. of products offered - Other	Enter the number of Other products the corresponding Issuer offers for the corresponding market (Individual or SmallGroup). The number must be a whole number. If the Issuer does not offer any Other products, enter 0. <b>Do not leave this field blank.</b>

**Please follow the following guidelines when entering data into this worksheet:**

- 1) **Do not skip any rows when entering data. The system will interpret an empty row as the end of the data set (i.e. any data after a blank row will not be processed)**
- 2) **If you enter an Issuer Name in a row, you must enter all the required data for that Issuer. Do not leave any of the required cells blank. All cells on that row are required with the exception G5, Customer Service Phone Number.**
- 3) **If the Issuer does not have any products of a specific type, please make sure to enter a 0 (zero) into the corresponding cell.**
- 4) **Any data entered within a row that does not have a corresponding Issuer Name will not be processed.**

## Health Insurance Oversight System – Excel Data Submission Tool Technical Instructions


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### 4 Troubleshooting and FAQ

#### 4.1 FAQ's

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**Question 1:** I am trying to open State Data Entry files in Excel 2007, but I do not see the Option button. How do I enable contents?

1. Click the Microsoft Office Button  , and then click Excel Options.
2. Click Trust Center, click Trust Center Settings, and then click Message Bar.
3. Click the first radio button below:
  - Show the Message Bar in all applications when document content has been blocked. This option is selected by default so that you get Message Bar alerts whenever potentially unsafe content has been disabled. The option is not selected if you clicked the Disable all macros without notification option on the Macros pane of the Trust Center. If you click Disable all macros without notification, you won't get Message Bar alerts when macros are disabled.

#### 4.2 Submission Information

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Please submit your completed FINALIZED files via the upload functionality on the Upload Issuer Data Entry Forms page in HIOS. Please remember not to change the name of the system-generated finalized file.

#### 4.3 Support

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##### **HIOS Help**

If you need additional assistance, please call the HIOS Help Desk at 1-877-343-6507 (available beginning on Friday, May 7 2010) or email them at [insuranceoversight@hhs.gov](mailto:insuranceoversight@hhs.gov).

## Health Insurance Oversight System – Excel Data Submission Tool Technical Instructions

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### 5 Appendix A—Required Fields

State General Info Worksheet:

- State Name
- Underwriting Status
- State Small Group Interactive Tool Yes/No
- State Small Group Interactive Tool Website Address
- State Individual Interactive Tool Yes/No
- State Individual Interactive Tool Website Address
- Primary Data Submission Contact: First Name, Last Name, Phone Number, Email Address
- Back Up Data Submission Contact: First Name, Last Name, Phone Number, Email Address
- Primary Data Validation Contact: First Name, Last Name, Phone Number, Email Address
- Back Up Data Validation Contact: First Name, Last Name, Phone Number, Email Address

State Issuer and Product Info Worksheet:

- Issuer
- Individual/Small Group Market
- Issuer Contact: Name, Phone Number and Email Address
- Issuer Contact Phone
- Number of Products Offered for Each Product Type
  - Fee for Service
  - HMO
  - PPI
  - EPO
  - POS
  - Other